



3

DECLARATION FOR PATENT APPLICATION Docket Number: HMV-052.01

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**COMPOSITIONS AND METHODS FOR PRODUCTION OF DISULFIDE BOND CONTAINING  
PROTEINS IN HOST CELLS**

the specification of which (check one)

☐ is attached hereto.

☒ was filed on October 5, 2000 as United States Application Number or PCT International Application Number 09/679,705, and was amended on N/A (if applicable).

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Priority Claimed

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(Number) (Country) (Day/Month/Year Filed)

☐ Yes ☐ No

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60/157,770 October 5, 1999  
(Application Number) (Filing Date)

60/163,939 November 8, 1999  
(Application Number) (Filing Date)

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USSN 09/679,705

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Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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Post Office Address Same as above

Additional Inventors:

Full name of second joint inventor (given name, family name) Fredrik Aslund

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence MTC, Box 280, Karolinska Institute, 171 77 Stockholm, Sweden Citizenship: Sweden

Post Office Address Same as above

Full name of third joint inventor (given name, family name) Paul H. Bessette

Inventor's signature Paul H. Bessette Date February 7, 2001

Residence 441 Avocado Place, Camarillo, California 93010 Citizenship: U.S.  
~~208 E. 31st Street, Apt #3, Austin, Texas 78705~~

Post Office Address Same as above

USSN 09/679,705

Full name of fourth joint inventor (given name, family name) George Georgiou

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Campus Mail Code: C0400, University of Texas, Austin, Texas 78712 Citizenship: U.S.

Post Office Address Same as above

Full name of fifth joint inventor (given name, family name) Daniel Ritz

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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Post Office Address Same as above

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the specification of which (check one)

☐ is attached hereto.

☒ was filed on October 5, 2000 as United States Application Number or PCT International Application Number 09/679,705, and was amended on N/A (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulation, § 1.56 and § 1.63(e).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

\_\_\_\_\_  
(Number) (Country) (Day/Month/Year Filed)

☐ Yes ☐ No

\_\_\_\_\_  
(Number) (Country) (Day/Month/Year Filed)

☐ Yes ☐ No

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States Provisional application(s) listed below.

60/157,770 October 5, 1999  
(Application Number) (Filing Date)

60/163,939 November 8, 1999  
(Application Number) (Filing Date)

60/166,044 November 17, 1999  
(Application Number) (Filing Date)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

\_\_\_\_\_  
(Application Number)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status - patented, pending, abandoned)

\_\_\_\_\_  
(Application Number)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status - patented, pending, abandoned)



USSN 09/679,705

I hereby appoint Matthew P. Vincent, Reg. No. 36,709; Beth E. Arnold, Reg. No. 35,430; Isabelle M. Clauss, Reg. No. P-47,326; Kirk Dammon, Reg. No. 42,461; Jason Gish, Reg. No. 42,581; Dana Gordon, Reg. No. 44,719; David P. Halstead, Reg. No. 44,735; Edward J. Kelly, Reg. No. 38,936; Robert A. Mazzaresse, Reg. No. 42,852; James T. Olesen Reg. No. 46,967; Kevin A. Oliver, Reg. No. 42,049; Chinh H. Pham, Reg No. 39,329; Wolfgang E. Stutius, Reg. No. 40,256; Kingsley L. Taft, Reg. No. 43,946; Anita Varma, Reg. No. 43,221; and as attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Address all telephone calls to Isabelle M. Clauss at telephone number (617) 832-1000.

Address all correspondence to:      Patent Group  
Foley, Hoag & Eliot LLP  
One Post Office Square  
Boston, Ma. 02109-2170  
Customer ID No: 25181

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor (given name, family name) Jonathan Beckwith

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 8A Appleton Road, Cambridge, Massachusetts 02138      Citizenship: U.S.

Post Office Address Same as above

Additional Inventors:

Full name of second joint inventor (given name, family name) Fredrik Aslund

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence MTC, Box280, Karolinska Institute, 171 77 Stockholm, Sweden      Citizenship: Sweden

Post Office Address Same as above

Full name of third joint inventor (given name, family name) Paul H. Bessette

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 208 E. 31<sup>st</sup> Street, Apt #3, Austin, Texas 78705      Citizenship: U.S.

Post Office Address Same as above

USSN 09/679,705

Full name of fourth joint inventor (given name, family name) George Georgiou

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Campus Mail Code: C0400, University of Texas, Austin, Texas 78712 Citizenship: U.S.

Post Office Address Same as above

Full name of fifth joint inventor (given name, family name) Daniel Ritz

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 45-L High Street, Everett, Massachusetts 02149 Citizenship: Switzerland

Post Office Address Same as above

Full name of sixth joint inventor (given name, family name) Jackie Fun-ah Lim

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 10212 Arbor Drive, Shrewsbury, Massachusetts 01545 Citizenship: U.S.

Post Office Address Same as above

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

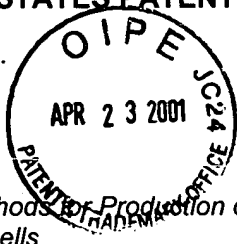
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Applicants: Jonathan Beckwith et al.

Serial No.: 09/679,705

Filed: October 5, 2000

Atty Docket No.: HMV-052.01



Title: *Compositions and Methods for Production of Disulfide Bond Containing Proteins in Host Cells*

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

I HEREBY DECLARE THAT I AM AN OFFICIAL EMPOWERED TO ACT ON BEHALF OF THE NONPROFIT ORGANIZATION IDENTIFIED BELOW:

Name of Nonprofit Organization: PRESIDENT AND FELLOWS OF HARVARD COLLEGE  
Address of Nonprofit Organization: 17 QUINCY STREET, CAMBRIDGE, MASSACHUSETTS 02138

**TYPE OF NONPROFIT ORGANIZATION:**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501 (c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (STATE: \_\_\_\_\_) (CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

I HEREBY DECLARE THAT THE NONPROFIT ORGANIZATION IDENTIFIED ABOVE QUALIFIES AS A NONPROFIT ORGANIZATION AS DEFINED IN 37 CFR 1.9(E) FOR PURPOSES OF PAYING REDUCED FEES TO THE UNITED STATES PATENT AND TRADEMARK OFFICE REGARDING THE INVENTION IDENTIFIED ABOVE.

I HEREBY DECLARE THAT RIGHTS UNDER CONTRACT OR LAW HAVE BEEN CONVEYED TO AND REMAIN WITH THE NONPROFIT ORGANIZATION REGARDING THE ABOVE-IDENTIFIED INVENTION.

IF THE RIGHTS HELD BY THE NONPROFIT ORGANIZATION ARE NOT EXCLUSIVE, EACH INDIVIDUAL, CONCERN OR ORGANIZATION HAVING RIGHTS IN THE INVENTION IS LISTED BELOW\* AND NO RIGHTS TO THE INVENTION ARE HELD BY ANY PERSON, OTHER THAN THE INVENTOR WHO WOULD NOT QUALIFY AS AN INDEPENDENT INVENTOR UNDER 37 CFR 1.9(c) IF THAT PERSON MADE THE INVENTION, OR BY ANY CONCERN WHICH WOULD NOT QUALIFY AS A SMALL BUSINESS CONCERN UNDER 37 CFR 1.9(d) OR A NONPROFIT ORGANIZATION UNDER 37 CFR 1.9(e).

\*NOTE: SEPARATE VERIFIED STATEMENTS ARE REQUIRED FROM EACH NAMED PERSON, CONCERN OR ORGANIZATION HAVING RIGHTS TO THE INVENTION AVERRING TO THEIR STATUS AS SMALL ENTITIES (37 CFR 1.27)

NAME Board of Regents, The University of Texas System  
ADDRESS 201 West 7<sup>th</sup> Street, Austin, TX 78701

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I ACKNOWLEDGE THE DUTY TO FILE, IN THIS APPLICATION OR PATENT, NOTIFICATION OF ANY CHANGE IN STATUS RESULTING IN LOSS OF ENTITLEMENT TO SMALL ENTITY STATUS PRIOR TO PAYING, OR AT THE TIME OF PAYING, THE EARLIEST OF THE ISSUE FEE OR ANY MAINTENANCE FEE DUE AFTER THE DATE ON WHICH STATUS AS A SMALL ENTITY IS NO LONGER APPROPRIATE. (37 CFR 1.28(b))

I HEREBY DECLARE THAT ALL STATEMENTS MADE HEREIN OF MY OWN KNOWLEDGE ARE TRUE AND THAT ALL STATEMENTS MADE ON INFORMATION AND BELIEF ARE BELIEVED TO BE TRUE; AND FURTHER THAT THESE STATEMENT WERE MADE WITH THE KNOWLEDGE THAT WILLFUL FALSE STATEMENTS AND THE LIKE SO MADE ARE PUNISHABLE BY FINE OR IMPRISONMENT, OR BOTH, UNDER SECTION 1001 OF TITLE 18 OF THE UNITED STATES CODE, AND THAT SUCH WILLFUL FALSE STATEMENTS MAY JEOPARDIZE THE VALIDITY OF THE APPLICATION, ANY PATENT ISSUING THEREON, OR ANY PATENT TO WHICH THIS VERIFIED STATEMENT IS DIRECTED.

NAME/TITLE OF PERSON SIGNING: JEFFREY LABOVITZ, DIRECTOR

ADDRESS OF PERSON SIGNING: TECH. LICENSING & IND. SPONSORED RESEARCH  
HARVARD MED. SCH., 25 SHATTUCK ST, BLDG A, RM 414  
BOSTON, MASSACHUSETTS 02115

Signature:

Date: 11/2/01

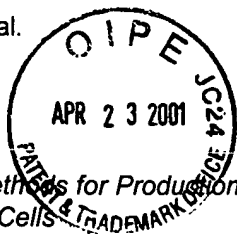
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Jonathan Beckwith et al.

Serial No.: 09/679,705

Filed: October 5, 2000

Title: *Compositions and Methods for Production of Disulfide Bond Containing Proteins in Host Cells*



Atty Docket No.: HMV-052.01

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

I HEREBY DECLARE THAT I AM AN OFFICIAL EMPOWERED TO ACT ON BEHALF OF THE NONPROFIT ORGANIZATION IDENTIFIED BELOW:

Name of Nonprofit Organization: BOARD OF REGENTS, THE UNIVERSITY OF TEXAS SYSTEM  
Address of Nonprofit Organization: 201 WEST 7<sup>TH</sup> STREET, AUSTIN, TEXAS 78701

**TYPE OF NONPROFIT ORGANIZATION:**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501 (c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (STATE: \_\_\_\_\_) (CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

I HEREBY DECLARE THAT THE NONPROFIT ORGANIZATION IDENTIFIED ABOVE QUALIFIES AS A NONPROFIT ORGANIZATION AS DEFINED IN 37 CFR 1.9(e) FOR PURPOSES OF PAYING REDUCED FEES TO THE UNITED STATES PATENT AND TRADEMARK OFFICE REGARDING THE INVENTION IDENTIFIED ABOVE.

I HEREBY DECLARE THAT RIGHTS UNDER CONTRACT OR LAW HAVE BEEN CONVEYED TO AND REMAIN WITH THE NONPROFIT ORGANIZATION REGARDING THE ABOVE-IDENTIFIED INVENTION.

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\*NOTE: SEPARATE VERIFIED STATEMENTS ARE REQUIRED FROM EACH NAMED PERSON, CONCERN OR ORGANIZATION HAVING RIGHTS TO THE INVENTION AVERRING TO THEIR STATUS AS SMALL ENTITIES (37 CFR 1.27)

NAME President and Fellows of Harvard College  
ADDRESS 17 Quincy Street, Cambridge, MA 02138

☐ INDIVIDUAL    ☐ SMALL BUSINESS CONCERN    ☒ NONPROFIT ORGANIZATION

I ACKNOWLEDGE THE DUTY TO FILE, IN THIS APPLICATION OR PATENT, NOTIFICATION OF ANY CHANGE IN STATUS RESULTING IN LOSS OF ENTITLEMENT TO SMALL ENTITY STATUS PRIOR TO PAYING, OR AT THE TIME OF PAYING, THE EARLIEST OF THE ISSUE FEE OR ANY MAINTENANCE FEE DUE AFTER THE DATE ON WHICH STATUS AS A SMALL ENTITY IS NO LONGER APPROPRIATE. (37 CFR 1.28(b))

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NAME/TITLE OF PERSON SIGNING: CULLEN M. GODFREY, VICE CHANCELLOR AND GENERAL COUNSEL  
ADDRESS OF PERSON SIGNING: The University of Texas System, Office of General Counsel  
201 W. 7<sup>th</sup> Street, Austin, Texas 78701

Signature:  Date: January 30, 2001